

LAW

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TRANSMITTAL FORM

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Total Number of Pages in This Submission 20

| | |
|------------------------|--------------------|
| Application Number | 10/763,461 |
| Filing Date | January 23, 2004 |
| First Named Inventor | Shchukin et al. |
| Art Unit | 2815 |
| Examiner Name | Julio J. Maldonado |
| Attorney Docket Number | NSC-QIL1CDV |

ENCLOSURES (Check all that apply)

- | | | |
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| <input type="checkbox"/> Fee Transmittal Form | <input type="checkbox"/> Drawing(s) | <input type="checkbox"/> After Allowance Communication to TC |
| <input type="checkbox"/> Fee Attached | <input type="checkbox"/> Licensing-related Papers | <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences |
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| <input checked="" type="checkbox"/> Information Disclosure Statement | <input type="checkbox"/> CD, Number of CD(s) _____ | Post Card |
| | <input type="checkbox"/> Landscape Table on CD | |
| <input type="checkbox"/> Certified Copy of Priority Document(s) | <input type="text"/> Remarks | |
| <input type="checkbox"/> Reply to Missing Parts/ Incomplete Application | | |
| <input type="checkbox"/> Reply to Missing Parts under 37 CFR 1.52 or 1.53 | | |

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

| | | | |
|--------------|-----------------------|----------|--------|
| Firm Name | BROWN & MICHAELS, PC | | |
| Signature | | | |
| Printed name | Meghan A. Van Leeuwen | | |
| Date | 8/15/05 | Reg. No. | 45,612 |

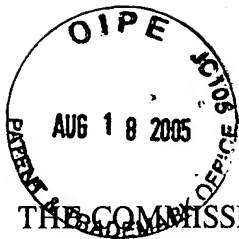
CERTIFICATE OF TRANSMISSION/MAILING

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| Signature | | | |
| Typed or printed name | Justin Wood | Date | 8/15/05 |

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

THE COMMISSIONER OF PATENTS AND TRADEMARKS
Alexandria VA 22313-140

In re the application of: Shchukin et al.
For: Defect-Free Semiconductor Templates for Epitaxial Growth and Method of Making
Same
Filed: January 23, 2004
Application No.: 10/763,461
Art Unit: 2815
Attorney Docket No.: NSC-QIL1CDV

INFORMATION DISCLOSURE STATEMENT

List of Sections Forming Part of This Information Disclosure Statement

The following sections are being submitted for this information Disclosure Statement

1. ☒ Preliminary Statements
2. ☒ FORM PTO - 1449 (Modified)
3. ☐ Statement As To Information Material To Examination Not Found in Patents or Publications
4. ☐ Identification of Prior Application In Which Listed Information Was Already Cited and For Which No Copies Are Submitted Or Need Be Submitted.
5. ☐ Cumulative patents or Publications
6. ☐ Copies of Listed Information Items Accompanying This Statement
7. ☐ Concise Explanation of Non-English Language Listed Information Items.
8. ☐ Translation(s) of Non-English Language Documents
9. ☐ Certification under MPEP 609(e)
10. ☒ Identification of Person(s) Making This Information Disclosure Statement

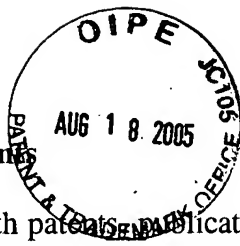
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Date: August 15, 2005

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Justin Wood



Section 1. Preliminary statements

Applicant submits herewith patents, publications or other information of which he is aware, which he believes may be material to the examination of this application and in respect of which there may be a duty to disclose in accordance with 37 CFR 1.56.

The filing of this information disclosure statement shall not be construed as a representation that a search has been made (37 CFR 1.56(g)), an admission that the information cited is, or is considered to be, material to patentability or that no other material information exists.

The filing of this information disclosure statement shall not be construed as an admission against interest in any manner. Notice of January 9, 1992, 1135 O.G. 13-25, at 25.

Section 2. Form PTO - 1449 (Modified) (SEE ATTACHMENT)

*EXAMINER: Initial if reference is considered, whether or not citation is in conformance with MPEP 609; Draw a line through citation if not in conformance or not considered. Include a copy of this form with the next communication to applicant.

Section 3. Statement As To Information Material For Examination Not Found in Patents or Publications (Information not listed in PTO 1449)

Section 4. Identification of Prior Application in Which Listed Information Was Already Cited and For Which No Copies Are Submitted Or Need Be Submitted

Section 5. Cumulative Patents or Publications

☐ Item(s)

are cumulative of the following patents or publication listed on Form PTO 1449 (modified):

In accordance with 37 CFR 1.98(c) a copy of _____ is being submitted with this information disclosure statement.

Section 6. Copies of Listed Information Items Accompanying This Statement

Legible copies of all items listed accompany this information statement.

☐ Exception(s) to above:

☐ Items in prior application from which an earlier filing date is claimed for this application as identified in Section 4.

☐ Cumulative patents or publications identified in Section 5.

Section 7. Concise Explanation of Non-English Language Listed Information Items

Section 8. Translation(s) of Non-English Language Documents

☐ Submitted herewith is an English translation of the following foreign language patents, publications or information or of those portions of those patents, publications or information considered to be material:

☐ No English language translations of the foreign language patents, publications or information or parts thereof are readily available, except for those listed above.

☐ The following foreign language documents submitted are believed to be the equivalent or

substantial equivalent of the English language documents identified below, which are also submitted herewith.

Section 9. Certification under Rule 1.97

☐ The undersigned hereby certifies that:

a. This Statement is being filed after the latest of (1) three months after the filing date of a national application; (2) three months after the date of entry of the national stage as set forth in w 1.491 in an international application; (3) the mailing date of a first Office action on the merits.

b. The fee set forth in §1.17(p)

☐ Is being paid with this Information Disclosure Statement

☐ Is not due because:

☐ (1) Each item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the statement, or

☐ (2) No item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the knowledge of the person signing the certification after making reasonable inquiry, was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the statement.

~~Section 10. IDENTIFICATION OF PERSON(S) MAKING THIS INFORMATION DISCLOSURE STATEMENT~~

The person making this statement is

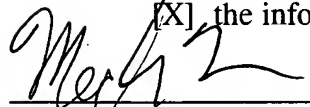
(a) ☐ the inventor(s) who signs below

(b) ☒ the attorney who signs below on the basis of:

☐ the information supplied by the inventor(s)

☐ an individual associated with the filing and prosecution of this application (37 CFR 1.56(c)).

☒ the information in the attorney's file


Meghan Van Leeuwen, Registration No. 45,612
BROWN & MICHAELS, PC
400 M&T Bank Building, 118 N. Tioga Street
Ithaca, New York 14850-4343
Voice: (607) 256-2000 Fax: (607) 256-3628
e-mail: docket@bpmlegal.com
Customer number: 020808


Date:

Section 2. Form PTO - 1449 (Modified) (ATTACHMENT)

| | | |
|--|---------------------------------|--------------------------|
| FORM PTO-1449 U.S. DEPT. OF COMMERCE (Modified) PATENT AND TRADEMARK OFFICE | ATTY DOCKET NO. NSC-QIL1CDV | SERIAL NO. 10/763,461 |
| | APPLICANT Shchukin et al. | |
| INFORMATION DISCLOSURE STATEMENT BY APPLICANT | FILING DATE January 23, 2004 | GROUP 2815 |

U.S. PATENT DOCUMENTS

| Exam Initial | DOCUMENT NUMBER | DATE | PATENTEE | CLASS | SUB | FILING DATE IF APPROPR |
|-----------------|--------------------|------------|----------------------|-------|-----|---------------------------|
| | 6,225,650 | 05/01/2001 | Tadatomo et al. | 257 | 190 | |
| | 4,952,526 | 08/28/1990 | Pribat et al. | 438 | 412 | |
| | 5,633,516 | 05/27/1997 | Mishima et al. | 257 | 190 | |
| | 2002/0052084 | 05/02/2002 | Eugene A. Fitzgerald | 438 | 282 | |

FOREIGN PATENT OR PUBLISHED FOREIGN PATENT APPLICATION

| Exam Initial | DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUB | TRANSLATION YES NO |
|-----------------|--------------------|----------|---------|-------|-------|-------------------------|
| | WO02/13273 | 02/14/02 | WIPO | H01L | 29/06 | |

OTHER PRIOR ART

| | | |
|-----------------|--|--|
| Exam Initial | | Author, Title, Date, Pertinent Pages, Etc |
| | | Krestinikov, I. L, Cherkashin , N. A., Sizov, D. S., Bedarev, D. A., Kochnev, I. V., Lantratov, V. M. and Ledentsov, N. N., “InGaAs nanodomains formed in situ on the surface of (Al, Ga)As” Technical Physics Letters, vol. 27, no. 3, March 2001, pg. 233-235. |
| EXAMINER | | DATE CONSIDERED |
| | | |
| | | |